

Evaluation Proposal Review Checklist
Based on the *NIH Program Evaluation Guide*

Proposal Title/IC: _____

Section 1: Program to be Evaluated (p. 1-2^{*})

- 1.1 Cover Page: Does the cover page include:
- ☐ Evaluation title, primary IC or OD office, contact information
 - ☐ ICs or Government agencies co-sponsoring the evaluation
- 1.2 Program to be Evaluated: Is the NIH program that is the focus of the evaluation identified and described?
- ☐ Organizational location within the NIH
 - ☐ Fiscal year program was established (or is likely to be established)
 - ☐ Approximate size of the program in dollars, full-time personnel (FTEs), and/or facilities
- 1.3 Program Goals: Are the documented or proposed goals of the program identified?
- ☐ Goals relevant to this evaluation
 - ☐ Goals to be developed as part of a needs assessment, if applicable
 - ☐ If no goals are identified, is an explanation provided?

Reviewer notes:

^{*} Refers to pages in the *NIH Program Evaluation Guide: How to Develop a Proposal for One Percent Evaluation Set-Aside Funding*.

Evaluation Proposal Review Checklist

Section 2: Need for an Evaluation (p. 3-4)

- 2.1 Type of Evaluation: Is the type of evaluation that best describes the planned evaluation indicated?
- ☐ Needs assessment
 - ☐ Feasibility study
 - ☐ Process evaluation
 - ☐ Outcome evaluation
- 2.2 Purpose of the Evaluation: Is the primary purpose of the proposed evaluation described?
- ☐ Main objective(s) of the evaluation
 - ☐ Explanation of phases in multi-phased evaluations
- 2.3 Use of Results: Are the planned uses of the evaluation results described?
- ☐ Types of stakeholders, their interest in the evaluation, how the evaluation might affect them, how they will use the study
 - ☐ Planned uses by the sponsoring IC, other ICs, and/or other government agencies
 - ☐ Factors that could have an impact on the usefulness of the results
- 2.4 Review of the Literature: Was a literature review or informal review of related studies conducted? (if applicable)
- ☐ Description of the review
 - ☐ Findings relevant to the evaluation
 - ☐ If no review was conducted, is an explanation provided?
- 2.5 Timeliness of the Evaluation: Is a rationale for conducting the evaluation at this time provided?
- ☐ Compelling reasons for prompt action (e.g., Congressional mandate, Executive Order, national commission report)

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Evaluation Proposal Review Checklist

Section 3: Evaluation Design (p. 5-6)

- 3.1 Study Questions: Are the key questions that the evaluation must answer defined?
- ☐ Most important study questions
 - ☐ Hypotheses to be tested, if any
- 3.2 Target Population: Is the primary group about which information is needed identified?
- ☐ Description of the target population (e.g., size, general characteristics, subgroups)
 - ☐ Unit of analysis, if applicable
- 3.3 Key Variables: Is the specific information needed to answer the study questions provided?
- ☐ Are the most important variables listed? Consider:
 - Program resources
 - Population characteristics
 - Program activities
 - Program goals, performance measures, and comparison measures
 - External factors
 - Other variables
 - ☐ Is at least one performance measure and corresponding comparison measure provided for each program goal examined in the evaluation?
- 3.4 Conceptual framework (if applicable): Has a conceptual framework (or logic model) been developed?
- ☐ A diagram that shows how the program is intended to achieve its goals

Reviewer notes:

Evaluation Proposal Review Checklist

Section 4: Data Collection and Analysis (p. 7-9)

- 4.1 Data Sources: Is each data source described?
- ☐ Archival data
 - ☐ New data
- 4.2 Data Collection Strategies: Are the major data collection strategies that will be used to answer each study question described? Consider:
- ☐ Each data collection procedure or instrument
 - ☐ Processes used to select data elements
 - ☐ Sampling strategy (size and response rates)
 - ☐ Data collection regarding any comparison or control groups
- 4.3 New Data Collection Instruments (if applicable): Are the key features of any new data collection instruments described?
- ☐ Primary purpose
 - ☐ Process used to design and pretest
 - ☐ Administration procedures
- 4.4 Clearance Requirements (if applicable): Is any special permission be needed before collecting certain data?
- ☐ Paperwork Reduction Act (OMB Clearance)
 - ☐ Privacy Act
 - ☐ IRB approval

Reviewer notes:

Evaluation Proposal Review Checklist

Section 4: Data Collection and Analysis, continued (p. 7-9)

- 4.5 Data Integrity: Are the steps that will be taken to enhance the reliability and validity of the data described?
- ☐ Pilot tests of instruments and procedures
 - ☐ Inter-rater reliability checks
 - ☐ Training and monitoring of data collectors
- 4.6 Ethical Considerations: Are the plans to address the needs and sensitivities of the respondents and/or program personnel described?
- ☐ Steps to assure confidentiality
 - ☐ Steps to safeguard responses and computerized files
 - ☐ Steps to minimize burden on respondents and program personnel
- 4.7 Data Preparation: Are the steps that will be taken to prepare the data for analysis described?
- ☐ Verification
 - ☐ Quality control
 - ☐ Coding procedures
- 4.8 Data Analysis: Is each planned analysis described?
- ☐ Descriptive statistics
 - ☐ Inferential statistics
 - ☐ Qualitative analysis

Reviewer notes:

Evaluation Proposal Review Checklist

Section 5: Evaluation results (p. 11)

- 5.1 Products of the Evaluation: Is the primary purpose of each planned report and/or other product described?
- 5.2 Dissemination of Results: Are the planned procedures for disseminating the findings and other products of the evaluation described?
- ☐ Intended audience (s)
 - ☐ Planned dissemination procedures (e.g., websites)

Reviewer notes:

Section 6: Project management (p. 13)

- 6.1 Project implementation: How will the evaluation be conducted?
- ☐ NIH staff, independent contractor or consultant
 - ☐ Selection of the contractor/consultant, if applicable
 - ☐ Expertise needed to conduct the evaluation
- 6.2 Advisory committee (if applicable): Will an advisory committee be used?
- ☐ Advisory committee responsibilities
 - ☐ Expertise and number of committee members
 - ☐ Number of meetings planned
- 6.3 Estimated timeline for the evaluation: What is the proposed timeline?
- ☐ Expected timeframe for each major task
 - ☐ Time to select contractor
 - ☐ Time to obtain special permission to collect certain data

Reviewer notes:

Evaluation Proposal Review Checklist

Section 7: Budget Estimate (p. 15)

- 7.1 Estimated Cost: Is a detailed budget included?
- ☐ Direct labor costs
 - ☐ Other direct costs (e.g., consultant, subcontract, travel, and miscellaneous costs)
 - ☐ Indirect costs (e.g., fringe benefits, G&A expenses)
 - ☐ Fee, if any
- 7.2 Anticipated Funding Sources: Are the anticipated funding sources identified?
- ☐ One Percent Evaluation Set-Aside
 - ☐ IC Funds
 - ☐ Other Funds
 - ☐ By fiscal year, if applicable

Reviewer notes: